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Melissa J. S			- d			Telephone (202) 366-4677							
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(IMPORTANT — Read instructions on reverse before completing this form)

INTERAGENCY REPORT CONTROL NUMBER

0230-NAR-AN

AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

1. FISCAL YEAR COVERED 1997

DEPARTMENT, INDEPENDENT AGENCY OR ESTABLISHMENT	3. CONTACT FOR ADDITIONAL INFORMATION (Na

U.S. Department of Transportation

4. SENIOR AGENCY OFFICIAL (Section 5.6, E.O. 12958)

Melissa J. Spillenkothen

me, office and telephone no.)

Lee A. Privett, Acting Director Office of Security & Admin. Mgmt.

Telephone: (202) 366-4677

		5.	NUMBER OF OR	GINAL C	LASSIFIC	CATION AUTHORI	TIES		
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SYSTEMATIC REVIEW FOR DECLASSIFICATION (Sections 3.4 and 3.5 of EO 12958)

Number of Formal Inspections, Surveys, or Program Reviews

142

10. EXPLANATORY COMMENTS

(Use this space to elaborate on any section of this form. If more space is needed, use a blank sheet(s) of paper and attach to form.) * The increase in derivative classification is attributed to an increase in the number

of classified	operations	in which	the	U.S.	Coast	Guard	participated	during	FY	97.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

STANDARD FORM 311 (REV. 8-97) Prescribed by NARA/ISOO 32 CFR 2001.60 E.O. 12958

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Melissa J	. Allen	for	Administrat	ion	Management (202) 366-4678					
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INTERAGENCY REPORT

(IMPORTANT - Read instructions on reverse before completing this form) 0230-NAR-AN 1, FISCAL YEAR COVERED AGENCY SECURITY CLASSIFICATION 2000 MANAGEMENT PROGRAM DATA 2. DEPARTMENT, INDEPENDENT AGENCY OR ESTABLISHMENT 3. CONTACT FOR ADDITIONAL INFORMATION (Name, office, and telephone no.) U. S. Department of Transportation Richard B. Thompson Office of Security and Administrative Mgmt. 4. SENIOR AGENCY OFFICIAL (Section 5.6, E.O. 12958) 202-366-4678 Melissa J. Allen Assistant Secretary for Administration 5. NUMBER OF ORIGINAL CLASSIFICATION AUTHORITIES C. CONFIDENTIAL D. TOTAL A. TOP SECRET B. SECRET 0 6. NUMBER OF CLASSIFICATION DECISIONS ORIGINAL CLASSIFICATION CLASSIFICATION **DECLASSIFY IN 10 YEARS** EXEMPT FROM DECLASSIFI-**DERIVATIVE** LEVEL OR LESS CATION IN 10 YEARS (a) (b) 0 15 0 A. TOP SECRET 2641 0 6 B. SECRET 5822 0 1 C. CONFIDENTIAL DECLASSIFICATION DECISIONS CASES CASES (Report in pages) CARRIED CARRIED 7. MANDATORY REVIEW OVER FROM **NEW CASES** OVER TO GRANTED IN GRANTED IN THE PREVIOUS RECEIVED NEXT REQUESTS DENIED FULL PART **PERIOD** PERIOD (b) (c) (f) (d) (e) (a) 0 0 0 3 31 pages 0 A. REQUESTS 0 0 0 B. APPEALS 0 8.PAGES DECLASSIFIED: AUTOMATIC DECLASSIFICATION AND SYSTEMATIC 9. INTERNAL AGENCY OVERSIGHT Number of Formal Inspections, Surveys, or Program Reviews REVIEW FOR DECLASSIFICATION (Sections 3.4 and 3.5 of EO 12958) 20 19 10. EXPLANATORY COMMENTS (Use this space to elaborate on any section of this form. If more space is needed, use a blank sheet(s) of paper and attach to Compared with previous reports, the U.S. Coast Guard had a decline in Confidential derivative decisions as a result of an in-depth review. A classification review by the Information Security Oversight Office revealed a possible duplication of derivative decisions in previous reports.

INTERAGENCY REPORT CONTROL NUMBER

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The increase in th	ne number of	deriv	ative classification	decisions	is due t	o an increase in act	ivity	the terrorist ev	vents of		
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DRAFT AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and	typewritten, and reach the Information Security	Oversight Office (ISOO) no later than November	15 following the reporting period.)
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PARTA: Identifying Information	
Enter the Fiscal Year that this report covers. FY 2004	
 Identify the Department, Independent agency or establishment that is covered by this report. U.S. Department of Transportation 	
 Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined Section 5.4(d)) responsible for this report. 	in EO 12958, as amended,
Vincent T. Taylor, Assistant Secretary for Administration, US Dept of Tran SW, Washington, DC 20590; 202-366-2332, fax 202-3666-7211; vincent.t	sportation, 400 Seventh St. aylor@ost.dot.gov
4. Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering qu	uestions about this report.
Richard T. Thompson, Associate Director for Security Policy, 202-366 richard.thompson@ost.dot.gov	-4678, fax 202-493-2006,
PART B: Officials with Original Classification Authorit	yorkin history of a place of the same
5. Enter the number of agency officials whose highest level of original classification authority is TOP SECR	
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7. Enter the number of agency officials whose highest level of original classification authority is CONFIDEN	1TIAL. 7. 0
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	8. 7
Original classification is an initial determination that the information to be classified has not been previously classified by a following conditions: (1) it was classified by an original classification authority; (2) the information is owned by, produce the United States Government; (3) it falls into at least one of the categories found in Section 1.4 of E0 12938, as amend reasonably be expected to result in damage to the national security. [Provide Information only on classification decisions con disserimation or retention, regardless of the media. Do not count reproductions or copies.] 9. Enter the number of original TOP SECRET classification decisions made during the reporting period with	d by or for, or is under the control of ted, and; (4) unauthorized disclosure could intained in finished products for.
 Instructions of 10 years or less. Enter the number of original TOP SECRET classification decisions made during the reporting period with 	0 i
Instructions ranging from over 10 years to 25 years.	0
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10)	111
 Enler the number of original SECRET classification decisions made during the reporting period with decinstructions of 10 years or less. 	0
 Enter the number of original SECRET classification decisions made during the reporting period with decinstructions ranging from over 10 years to 25 years. 	lassification 13.
14. Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)	0
 Enter the number of original CONFIDENTIAL classification decisions made during the reporting period of declassification instructions of 10 years or less. 	0
 Enter the number of original CONFIDENTIAL classification decisions made during the reporting period videolassification instructions ranging from over 10 years to 25 years. 	vith 16.
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)	17. 0
18. Total number of original classification decisions. (Sum of blocks 11, 14, & 17)	18:
PART D: Derivative Classification Decisions Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already of on classification guides or other source documents. If possible, include derivative classification actions made by contractors.	teasified. This includes classification based
19. Enter the number of derivative TOP SECRET classifications during the reporting period.	19. O
20. Enter the number of derivative SECRET classifications during the reporting period.	20. 15
21. Enter the number of derivative CONFIDENTIAL classifications during the reporting period.	21.
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	22 . 15
	STANDARD FORM 311 (PEV 11.03)

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Enter the Fiscal Year that this report covers.	
FY 2004	
Identify the Department, Independent agency or establishment that is covered by this report. U.S. Department of Transportation	
PART E: Mandatory Declassification Review Requests and Appeals A request is an individual review request or appeal, regardless of the number of documents or pages to be reviewed as part of Report only requests for you agency in which your agency is responsible for the final decision. Please provide an explanat where the number of requests or appeal carried forward between periods changes.	the request ion in Part I below
23. Enter the number of requests carried over from the previous reporting period.	23.
24. Enter the number of new requests received during the reporting period.	24.
25. Enter the number of requests carried over to the next reporting period.	25.
26. Enter the number of appeals carried over from the previous reporting period.	<u>26.</u>
27. Enter the number of new appeals received during the reporting period.	27.
28. Enter the number of appeals carried over to the next reporting period.	28.
- Paper (A. Dan No. 11) - A. Dan No. 11 - A. Dan No. 12 - A.	
PART F: Mandatory Declassification Review Decisions in Pages 29. Enter the number of requested pages that were declassified in full.	29.
25. Effet the number of requested pages that were decissailed in run.	0
30. Enter the number of requested pages that were declassified in part.	30.
31. Enter the number of requested pages that were denied declassification.	31.
32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)	32 (m) (1 - 15 - 15 - 15 - 15 - 15 - 15 - 15 -
33. Enter the number of appealed pages that were declassified in full.	33. 0
34. Enter the number of appealed pages that were declassified in part.	34. 0
35. Enter the number of appealed pages that were denied declassification.	35.
36. Total number of appealed pages acted on. (Sum of blocks 33, 34, & 35)	36.
PART G: Automatic Declassification and Systematic Review	FIFT WAS SAID
37. Enter the number of pages reviewed during the reporting period that were subject to declassification under Sections 3.3 & 3.4, E012958, as amended.	37. 23
38. Enter the number of pages declassified under Sections 3.3 & 3.4, EO 12958, as amended.	38 .
PART H: Internal Agency Oversight	
39. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program, completed during the reporting period.	39. 64
40. Enter the number of internal challenges processed by your agency to the classification of information believed to be Improperly classified or unclassified. (See EO 12958 as amended, Section 1.8)	40.
PART Explanatory Comments	STORY THE STORY
Les this proces to alcharate an any parties of this form. If more space is needed, provide them as an effectment to this form	

Jsa this spece to elaborate on any section of this form. If more spaca is needed, provide them as an ettachment to this form.

Please note that we have dropped three Confidential Original Classification Authorities since last year. Also, upon further review of the SF 311 instructions, we did not report any TOP SECRET derivative classification decisions this year because all of the documents produced were of a working paper nature, and not finished products for dissemination or retention. If you have any questions please call Richard Thompson at 202-366-4678, or David Meade at 202-366-8891.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

AUTHORIZED FOR LOCAL REPRODUCTION Previous edition is unusable STANDARD FORM 311 BACK (REV 11-03) Prescribed by NARA/ISOO 32 CFR 2001.60 E.D. 12958

(50	ornissions must be unclassified and typewritten, and reach the information Seturity Oversight Office (ISOO) no later than November 15 following	g the reporting period.)	
-:	PART A: Identifying Information		
1.	Enter the Fiscal Year that this report covers. 2005		
2.	Identify the Department, Independent agency or Establishment that is covered by this report. Department of Transportation		
3.	Enter the name, title, address, phone, fax, and small address of the Senior Agency Official (as defined in EO 12958, as amended, Section 5.4(d)) responsible for this report.		
	Ms. Linda J. Washington, Acting Assistant Secretary for Administration (M-1), US Department of Transportation, 400 Seventh St., SW, Washington, DC 20590 Phone: 202-366-2332, fax: 202-366-2191		
4.	Enter the name, tille, phone, fax and email address for the point-of-contact responsible for answering questions about this	eport.	
	David Meade, Security Specialist, phone 202-366-8891, fax 202-493-2006, david.meade@dot.gov		
_	PART B: Officials with Original Classification Authority	aleit saitte	
5.	Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5. 0	
6.	Enter the number of agency officials whose highest level of original classification authority is SECRET.	6. 7	
7.	Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7. 0	
8.	Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	7	
10 Q	definition (3) it falls into at least one of the exteported found in Bectler 1.4 of EO 12858, as amended; and, (4) unsufficient disclosure could be extend to result in demage is the national accurity. Provide information only on dissellation decisions combined in finished products for dissellations of the medis. Do not count reproductions or copies. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	9.	
10.	Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification	10.	
11,	Instructions ranging from over 10 years to 25 years. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10)	0	
12.	Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	12.	
13.	Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	13.	
14.	Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)	14	
	Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with decisions made during the reporting period with	15. O	
16.	Entar the number of original CONFIDENTIAL classification decisions made during the reporting period with decisesification instructions ranging from over 10 years to 25 years.	16.	
17.	Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)	17.	
18.	Total number of original classification decisions. (Sum of blocks 11, 14, & 17)	18. O	
PART D: Derivative Classification Decisions Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. Provide information only on derivative classification decisions contained in finished products for dissemination or			
	tition, regardless of the media. Do not count reproductions or copies.) Enter the number of derivative TOP SECRET classifications during the reporting period.	19	
20.	Enter the number of derivative SECRET classifications during the reporting period.	20.	
21.	Enler the number of derivative CONFIDENTIAL classifications during the reporting period.	21.	
2.	Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	22.	
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Enter the Fiscal Year that this report covers	
Identify the Department, Independent agency or establishment that is covered by this report. Department of Transportation	
PART E: Mandatory Declassification Review Requests and Appeals A "request" is an individual review request or appeal, regardless of the number of documents or pages to be reviewed as part of the Report only requests for your agency in which your agency is responsible for the firm declation. Please provide an explanation where the number of requests or appeals conted forward between reporting periods changes.	he request. on in Part I below
23. Enter the number of requests carried over from the previous reporting period.	23.
	0
24. Enter the number of new requests received during the reporting period.	24.
25. Enter the number of requests carried over to the next reporting period.	25.
26, Enter the number of appeals carried over from the previous reporting period.	26.
27. Enter the number of new appeals received during the reporting period.	0
	0
28. Enter the number of appeals carried over to the next reporting period.	28.
PART F: Mandatory Declassification Review Decisions in Pages	dyll) ve ig
29. Enter the number of requested pages that were declassified in full.	29.
30. Enter the number of requested pages that were declassified in part.	30.
31. Enter the number of requested pages that were denied declassification.	31.
32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)	32
33. Enter the number of appealed pages that were declassified in full.	33.
44. Enter the number of appealed pages that were declassified in part.	34.
5. Enter the number of appealed pages that were denied declassification.	35.
96, Total number of appealed pages acted on. (Sum of blocks 33, 34, & 35)	.0
PART G: Automatic Declassification and Systematic Review	
 Enter the number of pages reviewed during the reporting period that were subject to declassification under Sections 3.3 & 3.4, E012958, as amended. 	37. 8,000
8. Enter the number of pages declassified under Sections 3.3 & 3.4, EO 12958, as amended.	38.
PART H; Internal Agency Oversight	8,000
9. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program,	39.
0. Enter the number of challenges processed by your agency to the classification of Information believed to be improperly	40.
PART LEVILLATION Comment of the Comm	
 Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program, completed during the reporting period. 	39. 84 40. 0

AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA
(Submissions must be unclassified and typewritten, and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

PART A: Identifying Information

. 25	a many way and a second second and a second	The said But a death at the said to bear.
1.	Enter the Fiscal Year that this report covers. 2006	
2.	Identify the Department, Independent agency or Establishment that is covered by this report. U. S. Department of Transportation	
3.	Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined in EO 12958, as ame Section 5.4(d)) responsible for this report.	nded,
	Ms. Linda J. Washington, Acting Assistant Secretary for Administration (M-1), U.S. Departme Transportation, 400 Seventh St., SW, Washington, DC 20590 Phone: 202-366-2332, Fax: 20	
4.	Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering questions about this re	port.
	Margaret L. Rose, Classified Information Security Specialist, Phone: 202-366-9524, Fax: 2006, e-mail: margaret.rose@dot.gov	202-366-
AR S	PART B: Officials with Original Classification Authority	A CONTRACTOR
5.	Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5.
6.	Enter the number of agency officials whose highest level of original classification authority is SECRET.	6.
7.	Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7
•	Elliot are righted of agency ellionis wilese highest level of eligible blassmouth additionly is seen in Electronic	. 0
8.	Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	8. 7
	PART C: Original Classification Decisions	
Go ex	ginal classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also ditions: (1) it was classified by an original classification authority. (2) the information is owned by, produced by or for, or is under the control of the certained. (3) it falls into at least one of the categories found in Section 1.4 of EQ 12958, as amended; and, (4) unauthorized disclosure could real ected to result in damage to the national security. [Provide information only on classification decisions contained in finished products for disseminately on the media. Do not count reproductions or copies.]	United States
	Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	9.
10	Enter the number of original TOP SECRET classification decisions made during the reporting period with deciassification instructions ranging from over 10 years to 25 years.	10.
11	Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10)	11.
12	Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	12.
13	Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	13.
14	Total number of SECRET original classification decisions, (Sum of blocks 12 & 13)	14.
15	Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.	15.
16	Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	16.
17	Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)	17
18	Total number of original classification decisions. (Sum of blocks 11, 14, & 17)	18.
on	PART D: Derivative Classification Decisions retive classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification guides or other source documents. [Provide information only on derivative classification decisions contained in finished products for	classification based dissemination or
	Intion, regardless of the media. Do not count reproductions or copies.) Enter the number of derivative TOP SECRET classifications during the reporting period.	19
20	Enter the number of derivative SECRET classifications during the reporting period.	20.
21	Enter the number of derivative CONFIDENTIAL classifications during the reporting period.	5 21.
22	Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	22.

Enter the Fiscal Year that this report covers.	
2006	
Identify the Department, Independent agency or establishment that Is covered by this report. U. S. Department of Transportation	
PART E: Mandatory Declassification Review Requests and Appeals A "request" is an individual review request or appeal, regardless of the number of documents or pages to be reviewed as part o Report only requests for your agency in which your agency is responsible for the final decision. Please provide an explain where the number of requests or appeals carried forward between reporting periods changes.	f the request. ation in Part I below
23. Enter the number of requests carried over from the previous reporting period.	23.
24. Enter the number of new requests received during the reporting period.	24.
25. Enter the number of requests carried over to the next reporting period.	<u>25.</u>
26. Enter the number of appeals carried over from the previous reporting period.	26 .
27. Enter the number of new appeals received during the reporting period.	27 .
28. Enter the number of appeals carried over to the next reporting period.	28.
	0
PART F: Mandatory Declassification Review Decisions in Pages	经数据的数字。
29. Enter the number of requested pages that were declassified in full.	29.
30. Enter the number of requested pages that were declassified in part.	30.
31. Enter the number of requested pages that were denied declassification,	31.
32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)	32.
33. Enter the number of appealed pages that were declassified in full.	33. 0
34. Enter the number of appealed pages that were declassified in part.	34. 0
35. Enter the number of appealed pages that were denied declassification.	35. 0
36. Total number of appealed pages acted on. (Sum of blocks 33, 34, & 35)	36.
PART G: Automatic Declassification and Systematic Review	
37. Enter the number of pages reviewed during the reporting period that were subject to declassification under Sections 3.3 & 3.4, EO12958, as amended.	37. 515,036
38. Enter the number of pages declassified under Sections 3.3 & 3.4, EO 12958, as amended.	38 . 2,241
PART H: Internal Agency Oversight	
39. Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program, completed during the reporting period.	39.
40. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (See EO 12958 as amended, Section 1.8)	40. O
PART I: Explanatory Comments	
se this space to alaborate on any section of this form. If more space is needed, provide as an attechment to this form. Provide explenations for a	A LAMINA CO. L. C.
hanges in trends/numbers from the previous year's report.	

(St	(Submissions must be unclassified and typewritten, and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)			
PART A: Identifying Information				
7.	Enter the Fiscal Year that this report covers.			
-	Fiscal Year 2007			
Z.	Identify the Department, Independent agency or Establishment that is covered by this report. Department of Transportation			
3.	Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined in EO 12958, as an Section 5.4(d)) responsible for this report.	ended,		
	Linda Washington Assistant Secretary for Administration (M-1) 1200 New Jersey Avenus, SE Washington, DC 20590			
4.	Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering questions about this	eport.		
	Lee Privett 202-368-4677			
	Director of Security (M-40) E-mail: lee.privett@dot.gov Room W54-336 1200 New Jersey Ave, SE Washington, DC 20590			
	PART B: Officials with Original Classification Authority			
5,	Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5.		
6.	Enter the number of agency officials whose highest level of original classification authority is SECRET.	6.		
•	Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7		
7.	enter the number of agency officials whose mignest level of original classification authority is Corrider that.	0		
8.	Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	7		
Go	disons: (1) if the selected by an expent describering schools; (2) the information is owned by produced by or for, or is under the content of the remarks; (3) if falls into all least one of the categories board is Section 1.4 of 5C 12368, as expended, and, (4) unsufficient disabstrate could be could be described by the national section; (Provide Information only on classification decisions perialised in finished products for discernances of the media. On not own improductions or copied. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification.	1 9.		
	instructions of 10 years or less.	0		
10.	Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	10. O		
11.	Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10)	0		
	Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	12.		
13.	Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	13.		
14.	Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)	94.		
	Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.	15. O		
16.	Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	0		
1 7.	Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)	17.		
18.	Total number of original classification decisions. (Sum of blocks 11, 14, & 17)	18.		
OR C	PART D: Derivative Classification Decisions: Derivative Classification to the incorporating, persphysion; installing, or generating in new form information that is already classified. This includes classification based on classification guides or other solvent documents. [Provide information only on derivative classification decisions contained in finished products for dissemination only on derivative classification decisions contained in finished products for dissemination only on derivative classification decisions contained in finished products for dissemination only on derivative classification decisions.			
	Abor, regardless of the medic. Do not count reproductions or copies.] Enter the number of derivative TOP SECRET classifications during the reporting period.	19		
20.	Enter the number of derivative SECRET classifications during the reporting period.	20.		
21.	Enter the number of derivative CONFIDENTIAL classifications during the reporting period.	21. 4		
22.	Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	22.		

at number of requested pages acted on. (Sum of blocks 29, 30, and 31) or the number of appealed pages that were declassified in full. or the number of appealed pages that were declassified in part. or the number of appealed pages that were declassification. In number of appealed pages acted on. (Sum of blocks 33, 34, & 35) PART G: Automatic Declassification and Systematic Review or the number of pages reviewed during the reporting period that were subject to declassification under ions 3.3 & 3.4, EO 12958, as amended. or the number of pages declassified under Sections 3.3 & 3.4, EO 12958, as amended. PART H: Internal Appency Oversight	0 33. 0 34. 0 35. 0 36. 380,000 38.
or the number of appealed pages that were declassified in full. For the number of appealed pages that were declassified in part. For the number of appealed pages that were denied declassification. For in number of appealed pages acted on. (Sum of blocks 33, 34, & 35) FART G: Automatic Declassification and Systematic Review For the number of pages reviewed during the reporting period that were subject to declassification under ions 3.3 & 3.4, EO12958, as amended.	33. 0 34. 0 35. 0 37. 380,000
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or the number of appealed pages that were declassified in full.	33. 0 33. 0 34.
	32. 0
il number of requested pages acted on. (Sum of blocks 29, 30, and 31)	32.
er the number of requested pages that were denied declassification.	31.
er the number of requested pages that were declassified in part.	30.
er the number of requested pages that were declassified in full.	29.
PART F: Mendatory Declassification Review Decisions in Pages	
er the number of appeals carried over to the next reporting period.	28.
er the number of new appeals received during the reporting period.	27.
er the number of appeals carried over from the previous reporting period.	26.
er the number of requests carried over to the next reporting period.	25.
er the number of new requests received during the reporting period.	24.
he number of requests or appears carried forward between reporting periods changes. Brithe number of requests carried over from the previous reporting period.	23.
PART E: Mandatory Declassification Review Requests and Appeals est is an individual review request or appeal, regardless of the number of documents or pages to be reviewed as part of only requests for your agency in which your agency is responsible for the final decision. Please provide an explan	of the request, ation in Part I be
ify the Department, independent agency or establishment that is covered by this report. partment of Transportation	
cal Year 2007	
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Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.

Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (See EO 12958 as amended, Section 1.8)

Part G "Automatic Declassification and Systematic Review"--Following the submission of the 2007 Declassification Plan update to ISOO, we experienced an slight increase in the number of pages reviewed for automatic declassification for FY 2007.

PART I: Explanatory Comments

40.

AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA (Submissions must be unclassified and typewritten, and reach the Information Security Oversight Office (ISOO) no later than November 15 following		
PART-A: Identifying Information	The second second	
Enter the Fiscal Year that this report covers.		
October 1, 2007 -September 30, 2008		
2. Identify the Department, Independent agency or Establishment that is covered by this report.		
 Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined in EO 12958, as am Section 5.4(d)) responsible for this report. 	ended,	
Linda Washington Assistant Secretary for Administration, M-1 1200 New Jersey, Ave, SE Washington, DC 20509		
4. Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering questions about this report.		
Lee Privett Phone: 202-366-4677 Director Email: Lee Privett@dot.gov		
Office of Security, M-40		
1200 New Jersey Ave, SE Washington, DC 20590		
	A STATE OF THE PARTY OF THE PAR	
PART B: Officials with Original Classification Authority	The state of the s	
5. Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5	
6. Enter the number of agency officials whose highest level of original classification authority is SECRET.	6. 7	
7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.	7.	
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	87.7	
regardless of the media. Do not count reproductions or copies. 9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	9. 0	
10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	10.	
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 & 10)	41	
12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.	12.	
13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	13.	
14. Total number of SECRET original classification decisions. (Sum of blocks 12 & 13)	14.	
15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.	15.	
16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	16.	
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 & 16)	17.	
18. Total number of original classification decisions: (Sum of blocks 11, 14, & 17)	18.	
PART D: Derivative Classification Decisions Derivative classification is the incorporating, paraphrasing restating or generating in new form information that is already classified. This includes on classification guides or other source documents. Provide information only on derivative classification decisions contained in this had products for retention, regardless of the media. Do not count reproductions or copies.]	i dissification based or dissimination or 12	
19. Enter the number of derivative TOP SECRET classifications during the reporting period.	19	
20. Enter the number of derivative SECRET classifications during the reporting period.	20.	
21. Enter the number of derivative CONFIDENTIAL classifications during the reporting period.	21.	
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	22.	

Enter the Fiscal Year that this report covers.		7
October 1, 2007 -September 30, 2008		
Identify the Department, Independent agency or establishment that is covered by this report. U.S. Department of Transportation		
PART E: Mandatory Declassification Review Requests and Appeals A "request" is an individual review request or appeal, regardless of the number of documents or pages to be reviewed as part of Report only requests for your agency in which your agency is responsible for the final decision. Please provide an explana where the number of requests or appeals carried forward between reporting periods changes.	the request tion in Part I below	1
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24. Enter the number of new requests received during the reporting period.	24.	
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25. Enter the number of requests carried over to the next reporting period.	25.	
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26. Enter the number of appeals carried over from the previous reporting period.	26.	
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31. Enter the number of requested pages that were denied declassification.	31.	7
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34. Enter the number of appealed pages that were declassified in part.	0	
35. Enter the number of appealed pages that were denied declassification.	35.	4
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36. Total number of appealed pages acted on. (Sum of blocks 33, 34, & 35)	36.200	1
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PART G: Automatic Declassification and Systematic Review	PERE PERE	IV
37. Enter the number of pages reviewed during the reporting period that were subject to declassification under	37.	7
Sections 3.3 & 3.4, EO12958, as amended.	0	
38. Enter the number of pages declassified under Sections 3.3 & 3.4, EO 12958, as amended.	38.	1
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PART H; Internal Agency Oversight	AND PARTY AND	
 Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program, completed during the reporting period. 	39. 7 5	V
 Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (See EO 12958 as amended, Section 1.8) 	40.	
PART I: Explanatory Comments	idele0.500, piceli	1
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Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.

Part G: We continue to ensure that each DOT organization identifies and reviews for possible declassification all classified information it holds that is of permanent historical value and that would be at least 25 years old as of December 31st of each year. As reported to ISOO earlier this year in the Annual Assessment of Agency Declassification Reviews (April 29, 2008), DOT had no data to report.

If you have any questions, please contact Margaret Rose at 202-366-9524 or at margaret.rose@dot.gov.

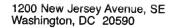
AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA
I must be unclassified and typewritten, and reach the Information Security Oversight Office (ISOO) no letter than November 15 following

100		* * *	
1.	Enter the Fiscal Year that this report covers.		
	October 1, 2008-September 30, 2009		
2.	Identify the Department, Independent agency or Establishment that is covered by this report.		
-	U.S. Department of Transportation Enter the name, title, address, phone, fax, and email address of the Senior Agency Official (as defined in EO 12958, as amended,		
3.	Section 5.4(d)) responsible for this report.	mirodo,	
ļ	Linds Washington		
	Assistant Secretary for Administration 1200 New Jersey Ave, SE		
	Washington, DC 20509		
4.	Enter the name, title, phone, fax and email address for the point-of-contact responsible for answering questions about this re- Louis Wideweld Phone: 202-366-0919	aport.	
	Acting Director Ernelt fou.widewaki@dot.gov		
	Office of Security, M-40 1200 New Jersey Ave, SE		
	Washington, DC 20509		
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5.	Enter the number of agency officials whose highest level of original classification authority is TOP SECRET.	5.	
6.	Enter the number of agency officials whose highest level of original classification authority is SECRET.	6.	
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10.	Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification	10.	
	Instructions ranging from over 10 years to 25 years.	0	
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34. Enter the number of appealed pages that were declassified in part.	34.
35. Enter the number of appealed pages that were denied declassification.	35.
38. Total number of appealed pages acted on. (Sum of blocks 33, 34, & 35)	¢.
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37. Enter the number of pages reviewed during the reporting period that were subject to declaraffication under Sections 3.3 & 3.4. EO12958, as amended.	37.
38. Enter the number of pages declassified under Sections 3.3 & 3.4, EO 12958, as amended.	38.
the state of the s	Y -1425
 Enter the number of inspections, surveys, or program reviews, covering any aspect of the security classification program, completed during the reporting period. 	39.
40. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (See EO 12958 as amended, Section 1.8)	40.
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Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in translationstate from the previous year's report.

Part D: The increase in derivative classifications over what DOT reported for FY 08 is due to an increase in the number of classified documents prepared as briefings for senior management officials.





Office of the Secretary of Transportation

NOV 16 2010

Mr. William J. Bosanko Director, Information Security Oversight Office National Archives and Records Administration 700 Pennsylvania Avenue, N.W. Washington, DC 20408

Dear Mr. Bosanko:

Enclosed is the completed Standard Form 311, Agency Security Classification Management Program Data, for the Department of Transportation for Fiscal Year 2010.

If you have any questions, please feel free to call Margaret Rose of my staff at (202) 366-9524.

Sincerely,

Robert M. Lee, Jr., Acting Director

Office of Security

Enclosure

PART A: Identifying		e reporting	period.)
1. Enter the Fiscal Year that this report covers.		1.	2010
2. Identify the Department, Independent agency or Establishment that is covered by this report.	^{2.} U.S. Department of T	ransp(
3. Enter the name, title, address, phone, fax, and e-mail address of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	Broot Forhenet Deputy Assestant Secretary for Administration, M-1 1900 New Jersey Averus, SE Washington, DC 20509 217-306-2332 Broot Frenerodighod gov		
4. Enter the name, title, phone, fax, and e-mail address for the point-of-contact responsible for answering questions about this report.	4. Robert M. Lee, Jr., Aufing Director 20:3986-4977 E-mail: Rob Lee@dol.gov		
PART B: Officials with Original	Classification Authority	•	
5. Enter the number of agency officials whose highest level of original classification aut		5.	0
6. Enter the number of agency officials whose highest level of original classification aut		6.	7
7. Enter the number of agency officials whose highest level of original classification aut	hority is CONFIDENTIAL.	7.	0
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, 8	& 7)	8.	7
following conditions: (1) it was classified by an original classification authority; (2) the if Government; (3) it falls into at least one of the categories found in section 1.4 of E.O. 13; damage to the national security. (Provide information on all classification decisions, regs Do not count reproductions or copies.)	526; and (4) unauthorized disclosure could reasonably urdless of the media, including those documented and of 	had assumed and	to monele in
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PART D: Derivative Classification is the incorporating, paraphrasing, restating, or generating in new on classification guides or other source documents. (Provide information on all classifications or experiments) of counterproductions or copies.)	form information that is already classified. This inch	des classific	ation based
19. Enter the number of derivative TOP SECRET classification decisions during the rep	orting period.	19.	57
20. Enter the number of derivative SECRET classification decisions during the reporting	period.	20.	16
21. Enter the number of derivative CONFIDENTIAL classification decisions during the	reporting period.	21.	2
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, and 21)		22.	75

A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed as part of the request. Report only requests for your agency in which your agency is responsible for the final decision. Please provide an explanation in Part I below where the number of requests or appeals carried forward between reporting period changes. 23. Enter the number of requests carried over from the previous reporting period. (Block 25 on last year's report)	DADTE, Mandaton D. L. (C. 1). The American		
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47. Enter the number of security classification guides created by your agency and currently in use.	46. Enter the number of challenges where the classification status was overturned in whole or in part.	46.	0
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	47. Enter the number of security classification guides created by your agency and currently in use.	47.	0

Fiscal Year 2010 Department or Agency U.S. Department of Transportation

None reviewed classified operations and classified material under their purview, completed an SF :	•	PART J: Explanatory Comments
Sampling Period (check one): 2-Week 4-Week 5-Week One Year Multiplier Applied (check one): None One Year None One Year None One Year One Year	Use this space to elaborate on any se changes in trends/numbers from the p	ection of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant previous year's report. Additionally, select the sampling process your agency used in developing this year's report.
One Year Multiplier Applied (check one): None DOT collected information for the SF 311 by disseminating it, via e-mail, to security points-of-contact who have security-related responsibilities throughout DOT. These individual reviewed classified operations and classified material under their purview, completed an SF in their organizations, and provided the data for example the state of the security points.	Sampling Period (check one): 2-Week	
Cate (speeny)	One Year Multiplier Applied (check one):	DOT collected information for the SF 311 by disseminating it, via e-mail, to security points-of-contact who have security-related responsibilities throughout DOT. These individuals reviewed classified operations and classified material under their purview, completed an SF 31 for their organizations, and provided the data for compilation by the Office of Security.



U.S. Department of Transportation Office of the Secretary of Transportation 1200 New Jersey Ave, SE Washington D.C. 20590

NOV 1 0 2011

Mr. John P. Fitzpatrick Director, Information Security Oversight Office National Archives and Records Administration 700 Pennsylvania Avenue, N.W. Washington, DC 20408

Dear Mr. Fitzpatrick:

Enclosed is the completed Standard Form 311, Agency Security Classification Management Program Data, for the Department of Transportation for Fiscal Year 2011.

If you have any questions, please feel free to call Margaret Rose of my staff at (202) 366-9524.

Sincerely,

David K. Bell

Director

Office of Security

Enclosure

AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA (Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

PART A: Identifying	The word of the section of the secti	reporting period y
1. Enter the Fiscal Year that this report covers.		1. 2011
2. Identify the Department, Independent agency or Establishment that is covered by this report.	² U.S. Department of Tr	ansportation
3. Enter the name, title, address, phone, fax, and e-mail address of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3. Brodi Fentenot Assisted Secretery for Administration 1200 New Jersey Ave. SE Weathington DC 20509 (202) 209-2335 Brodi. Fontenot@dot.gov	
Enter the name, title, phone, fax, and c-mail address for the point-of-contact responsible for answering questions about this report.	4. David K. Bell Director of Security 1200 Here Jersey Ave. SE Washington, DC 20509 202-306-4077 David K. Boll@dot.gov	
PART B: Officials with Original	Classification Authority.	
5. Enter the number of agency officials whose highest level of original classification aut	hority is TOP SECRET.	5,
6. Enter the number of agency officials whose highest level of original classification aut	hority is SECRET.	6. 8
7. Enter the number of agency officials whose highest level of original classification aut	hority is CONFIDENTIAL.	7.
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, &	È 7)	8. 8
PART G: Original Classification is an initial determination that the information to be classified has following conditions: (f) it was classified by an original classification authority, (2) the Government, (3) if falls into at least one of the categories found in section 1.4 of E.O. 13 damage to the national security (Provide information on all classification decisions, regardly one count reproductions or copies.)	not been previously classified by any other authority information is owned by or for, or is under the control 526: and (4) unauthorized disclosure could reasonably	of the United States be expected to result in
 Enter the number of original TOP SECRET classification decisions made during the of 10 years or less. 	reporting period with declassification instructions	9.
10. Enter the number of original TOP SECRET classification decisions made during th ranging from over 10 years to 25 years.	e reporting period with declassification instructions	10.
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9	and 10)	11. 0
12. Enter the number of original SECRET classification decisions made during the report years or less.	rting period with declassification instructions of 10	12,
13. Enter the number of original SECRET classification decisions made during the reporanging from over 10 years to 25 years.	orting period with declassification instructions	13.
14. Total number of SECRET original classification decisions. (Sum of blocks 12 and	13)	14. 0
 Enter the number of original CONFIDENTIAL classification decisions made during instructions of 10 years or less. 	g the reporting period with declassification	15.
 Enter the number of original CONFIDENTIAL classification decisions made during Instructions ranging from over 10 years to 25 years. 	g the reporting period with declassification	16.
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 and 16)		^{17.} 0
18. Total number of original classification decisions. (Sum of blocks 11, 14, and 17)		18. 0
PART D: Derivative Classi Derivative classification is the incorporating, paraphrasing, restating, or generating in new on classification guides or other source documents. (Provide information on all classifica disseminated via e-mail. Do not count reproductions or copies.)	v form information that is already classified. This inclu	
19. Enter the number of derivative TOP SECRET classification decisions during the re	porting period.	^{19.} 80
20. Enter the number of derivative SECRET classification decisions during the reporting	g period.	20. 6
21. Enter the number of derivative CONFIDENTIAL classification decisions during the	e reporting period.	21. 2
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, and 21)		^{22.} 88

PART E: Mandatory Declassification Review Requests and Appeals A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed as part of the re-	Quest Reportants
requests for your agency in which your agency is responsible for the final decision. Please provide an explanation in Part J below where the appeals carried forward between reporting period changes.	number of requests or
23. Enter the number of requests carried over from the previous reporting period. (Block 25 on last year's report)	23.
24. Enter the number of new requests received during the reporting period.	24.
25. Enter the number of requests carried over to the next reporting period.	25.
26. Enter the number of appeals earried over from the previous reporting period. (Block 28 on last year's report)	26.
27. Enter the number of new appeals received during the reporting period.	27.
28. Enter the number of appeals carried over to the next reporting period.	28.
PARTER: Mandatory Declassification Review Decisions in Pages	
29. Enter the number of requested pages that were declassified in full.	29.
30. Enter the number of requested pages that were declassified in part.	30.
31. Enter the number of requested pages that were denied declassification	31.
32. Total number of requested pages aeted on. (Sum of blocks 29, 30, and 31)	32.
33. Enter the number of appealed pages that were declassified in full.	33.
34. Enter the number of appealed pages that were declassified in part.	34.
35. Enter the number of appealed pages that were denied declassification	35.
36. Total number of appealed pages acted on. (Sum of blocks 33, 34, and 35)	36.
PART G.: Automatic, Systematic, and Discretionary Declassification Reviews	
37. Enter the number of pages reviewed that were subject to automatic declassification under section 3.3 of E.O. 13526.	37.
38. Enter the number of pages declassified under section 3.3 of E.O. 13526.	38.
39. Enter the number of pages reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526.	39.
40. Enter the number of pages declassified under section 3.4 of E.O. 13526.	40.
41. Enter the number of pages reviewed that were subject to discretionary declassification under section 3.1 of E.O. 13526.	41.
42. Enter the number of pages declassified under section 3.1 of E.O. 13526.	42.
PART Hi: Internal Agency Oversight	
43. Enter the number of inspections, surveys, or program reviews conducted by your agency, covering any aspect of the security classification program, completed during the reporting period.	43.
44. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	44.
45. Enter the number of challenges where the classification status was fully affirmed.	45.
46. Enter the number of challenges where the classification status was overturned in whole or in part.	46.
PART I: Classification Guides	
47. Enter the number of security classification guides created by your agency and currently In use.	47.

U.S. Department of Transportation 2011 Department or Agency Fiscal Year

Use this space to elaborate on any se changes in trends/numbers from the p	PART J: Expinuatory Comments ction of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant previous year's report. Additionally, select the sampling process your agency used in developing this year's report.
Sampling Period (check one): 2-Week	The Department of Transportation currently has over 15,000 cleared federal employees and support contractors. DOT collected information to populate the SF 311 by disseminating the survey to security points of contact who have security cognizance in designated Operating Administrations. The Security Points of Contact then reviewed the classified operations under their purview and completed the survey based on the existing secure infrastructure found throughout their area of responsibility. We also increased



U.S. Department of Transportation Office of the Secretary of Transportation 1200 New Jersey Ave, SE Washington D.C. 20590

NOV 15 2012

Mr. John P. Fitzpatrick Director, Information Security Oversight Office National Archives and Records Administration 700 Pennsylvania Avenue, N.W. Washington, DC 20408

Dear Mr. Fitzpatrick:

Enclosed is the completed Standard Form 311, Agency Security Classification Management Program Data, for the Department of Transportation for Fiscal Year 2012. In 2012 there was a significant increase in the Department's derivative classification decisions. The Federal Aviation Administration (FAA) established a Current Intelligence Threat Evaluation (CITE) operations center that resulted in a significant increase in the derivative classification actions within DOT for FY 2012. We believe that the number of derivative classification decisions will level off as we refine our method of identifying decisions and provide standard training to our derivative classifiers.

If you have any questions, please feel free to call Margaret Rose of my staff at (202) 366-9524.

Sincerely,

David K. Bell

Director

Office of Security

Enclosure

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

	formation		
L. Enter the Fiscal Year that this report covers. October 2011-September 2012		1. 201	2
ldentify the Department, Independent agency, or Establishment that is	^{2.} U.S. Department of Trans	nortat	ion
overed by this report.		portar	
3. Enter the name, title, address, phone, fax, and e-mail address of the Senior	3. Brodi Fontenot		
Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this	Assistant Secretary for Administration, M1 1200 New Jersey Ave, SE WDC 20509		
eport.	202-366-1400		
	Brodi.Fontenot@dot.gov		4
Finter the name, title, phone, fax, and e-mail address for the point-of-contact	4 - David K. Bell, Director		
esponsible for answering questions about this report.	Office of Security, MAD 1200 New Jersey Ave. SE WOC 2050# David-Beit@dot gev		
PART B: Officials with Original C		Т.	
5. Enter the number of agency officials whose highest level of original classificat		5.	
6. Enter the number of agency officials whose highest level of original classificat	ion authority is SECRET.	6.	88
7. Enter the number of agency officials whose highest level of original elassifier	ion authority is CONFIDENTIAL.	7.	
8. Total number of officials with original classification authority. (Sum of blocks	s 5, 6. & 7)	8.	8
PART C: Original Classific	ation Decisions		
Original classification is an initial determination that the information to be classif	ied has not been previously classified by any	other auth	ority. It al
meets the following conditions: (1) it was elassified by an original classification	authority: (2) the information is owned by or	for, or is u	nder the
control of the United States Government; (3) it falls into at least one of the catego	rice from section 1.4 of F.O. 13526; and (4)	mauthoriz	ed disclosi
control of the United States Government; (3) it fails into at least one of the catego could reasonably be expected to result in damage to the national security. (Providence of the Category)	le information on all original classification de	cisions, re	gardless o
the media, including those documented and disseminated via e-mail. Do not cour	e mornaduations or conies)	<i>(1010110)</i>	-Parterana o
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PART E: Mandatory Declassification Review Requests and Appeals	o must of 1	he request
A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed a For blocks 23-30, report only requests and appeals in which your agency is responsible for the final rele	ase.	ne request.
23. Enter the number of requests received during the reporting period.	23,	0
24. Enter the number of requests closed during the reporting period.	24.	0
25. Enter the number of requests that have been unresolved for over one year.	25.	0
26. Enter the average number of days to resolve each request.	26,	0
27. Enter the number of appeals received during the reporting period.	27.	0
28. Enter the number of appeals closed during the reporting period.	28.	0
29. Enter the number of appeals that have been unresolved for over one year.	29.	0
30. Enter the average number of days to resolve each appeal.	30.	0
For blocks 31-32, report the number of requests and appeals that were referred to your agency, and the referring responsible for the final release.	ig agency	y is
31. Enter the number of referred requests received during the reporting period.	31.	0
32. Enter the number of referred appeals received during the reporting period.	32.	0
PART F: Mandatory Declassification Review Decisions in Pages		
Count only those pages documented in hlocks 23-30 above.	33.	0
33. Enter the number of requested pages that were declassified in full.	34.	0
34. Enter the number of requested pages that were declassified in part.	35,	0
35. Enter the number of requested pages that were denied declassification.	36.	0
36. Total number of requested pages acted on. (Sum of blocks 33. 34, & 35)	37.	0
37. Enter the number of appealed pages that were declassified in full.	+	0
38. Enter the number of appealed pages that were declassified in part.	38.	0
39. Enter the number of appealed pages that were denied declassification.	39.	0
40. Total number of appealed pages acted on. (Sum of blocks 37. 38, & 39)	40.	0
PART G: Automatic, Systematic, and Discretionary Declassification Reviews	Τ.,	
41. Enter the number of pages reviewed that were subject to automatic declassification under section 3.3 of E.O. 13526.	41.	0
42. Enter the number of pages declassified under automatic declassification.	42.	0_
43. Enter the number of pages reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526.	43.	0
44. Enter the number of pages declassified under systematic declassification. 0	44.	0
45. Enter the number of pages reviewed that were subject to discretionary declassification under section 3.1 of E.O. 13526.	45.	0
46. Enter the number of pages declassified under discretionary declassification. 0	46.	0
PART H: Internal Agency Oversight		
47. Enter the number of self-inspections conducted by your agency, covering any aspect of the security elassification program, during the reporting period.	47.	48
48. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	48.	0
49. Enter the number of challenges where the classification status was fully affirmed.	49.	0
50. Enter the number of challenges where the classification status was overturned in whole or in part.	50.	0
51. Enter the number of security classification guides created by your agency and currently in use.	51.	0

PART I: Explanatory Comments Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any
significant changes in trends/numbers from the previous year's report.
In Fiscal Year 2012, the Federal Aviation Administration (FAA), Office of Emergency Operations, Communications and Investigations, Intelligence and Threat Analysis Division established and staffed a 24/7 Current Intelligence Threat Evaluation (CITE) operations center that has resulted in a significant increase in the derivative classification actions within DOT for FY 2012.
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of Transportation

Office of the Secretary of Transportation

Assistant Secretary for Administration

1200 New Jersey Avenue, SE Washington, DC 20590

JAN 02 2014

Mr. John P. Fitzpatrick Director. Information Security Oversight Office National Archives and Records Administration 700 Pennsylvania Avenue, N.W. Washington, DC 20408

Dear Mr. Fitzpatrick:

Enclosed is the complete Standard Form 311, Agency Security Classification Management Program Data, for the Department of Transportation for Fiscal Year 2013. Additional training was initiated in early 2013 addressing the proper requirements for tracking derivatively classified documents. This training increased the awareness throughout the Department of Transportation to ensure continuity and consistency in derivative accountability. Further, as directed by the Office of Inspector General during this year's Reducing Over- Classification audit, we switched to one of ISOO's recommended sampling techniques. This is an actual count of derivative actions for a two-month period multiplied by 6.5, to more closely approximate derivative activity for a full year. As a result, the increase in this 2013 report reflects greater accuracy in accountability and reporting than a genuine increase in derivatively classified items.

If you have any questions regarding this submission, please contact Joan Harris, Associate Director in the Office of Security, at 202-366-1827, or <u>Joan.Harris@dot.gov</u>.

Sincerely

Brodi Fontenot

Enclosure

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

	nformation		
1. Enter the Fiscal Year that this report covers.		1.	2013
2. Identify the Department, Independent agency, or Establishment that is covered by this report.	2. U.S. Depar	tment of Tran	sportation
3. Enter the name, title, address, pluone, fax, and e-mail address of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3. Brods Fonteuck Associated Societary for Administrations, MI 1200 New Jersey Ave SH WDC 20590/202-366-1400/Broks Fontenni@doc.g	· · · · · · · · · · · · · · · · · · ·	
4. Enter the name, title, phone, fax, and email address for the point-of-contact responsible for answering questions about this report.	4. Lou Widowski Office of Security, M40/1200 New Jersey Ave SE WIX / Lea Widowski/@dx	yog, k	
PART B: Officials with Original C	Classification Authority		
5. Enter the number of agency officials whose highest level of original classifica	tion authority is TOP SECRET.	5.	0
6. Enter the number of agency officials whose highest level of original classifica	tion authority is SECRET.	6.	8
7. Enter the number of agency officials whose highest level of original classifica		7.	0
8. Total number of officials with original classification authority. (Sum of block		8.	8
meets the following conditions: (1) It was classified by an original classification control of the United States Government; (3) it falls into at least one of the categor could reasonably be expected to result in damage to the national security. (Provide the media, including those documented and disseminated via email. Do not counted to the category of the media, including those documented and disseminated via email.	ries from section 1.4 of E.O. 13526; and (4) of the information on all original classification de t reproductions or copies.)	mauthorized (disclosure
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PART E: Mandatory Declassification Review Requests and Appeals A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed: Report only requests for your agency in which your agency is responsible for the final decision.	as part of the r	equest.
23. Enter the number of requests received during the reporting period.	23.	0
24. Enter the number of requests closed during the reporting period.	24.	0
25. Enter the number of requests that have been unresolved for over one year.	25.	0
26. Enter the average number of days to resolve each request.	26.	0
27. Enter the number of appeals received during the reporting period.	27.	0
28. Enter the number of appeals closed during the reporting period.	28.	0
29. Enter the number of appeals that have been unresolved for over one year.	29.	0
30. Enter the average number of days to resolve each appeal.	30.	0
31. Enter the number of referred requests received during the reporting period.	31.	0
32. Enter the number of referred appeals received during the reporting period.	32.	0
PART F: Mandatory Declassification Review Decisions in Pages		
33. Enter the number of requested pages that were declassified in full.	33.	0
34. Enter the number of requested pages that were declassified in part.	34.	0
35. Enter the number of requested pages that were denied declassification.	35.	0
36. Total number of requested pages acted on. (Sum of blocks 33, 34, & 35)	36.	0
37. Enter the number of appealed pages that were declassified in full.	37.	0
38. Enter the number of appealed pages that were declassified in part.	38.	0
39. Enter the number of appealed pages that were denied declassification.	39.	0
40. Total number of appealed pages acted on. (Sum of blocks 37, 38, & 39)	40.	0
PART G: Automatic, Systematic, and Discretionary Declassification Reviews		
41. Enter the number of pages reviewed that were subject to automatic declassification under section 3.3 of E.O. 13526.	41.	0
42. Enter the number of pages declassified under automatic declassification.	42.	0
43. Enter the number of pages reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526.	43.	0
44. Enter the number of pages declassified under systematic declassification.	44.	0
45. Enter the number of pages reviewed that were subject to discretionary declassification under section 3.1 of E.O. 13526.	45.	0
46. Enter the number of pages declassified under discretionary declassification.	46.	0
PART H: Internal Agency Oversight		
47. Enter the number of self-inspections conducted by your agency, covering any aspect of the security classification program, during the reporting period.	47.	l
48. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	48.	0
49. Enter the number of challenges where the classification status was fully affirmed.	49.	0
50. Enter the number of challenges where the classification status was overturned in whole or in part.	50.	0
51. Enter the number of security classification guides created by your agency and currently in use.	51.	0

PART I: Explanatory Comments
Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.
During 2013 the Department of Transportation Office of Inspector General conducted a department-wide review of DOT's classified management program under the Reducing Over-Classification Act, PL 111-258. In preparation for the audit the Department found that some components were counting derivative actions different from one another (e.g. some reported actual counts while others reported estimates). As directed during the 2013 audit, we selected one of the ISOO estimating methods and asked offices to follow that in order to achieve consistency. As a result FAA, which produces more derivative items than anywhere clse in DOT simply because of their size, reported an increase in derivative activity for 2013 relative to the report for 2012. Further, we provided additional training to DOT staff who regularly produce derivative products to further enhance staff knowledge. These actions early in 2013 combined to produce a report this year that yielded higher figures that were reported in previous years.

For ISOO Use Only		
ISOO Analyst Name:	Evan Coren	
Date of QC:	1/6/2014	
Analyst Initials:	EPC	•



Memorandum

Subject:

ACTION MEMO: Request to sign two ISOO reports

Date:

NOV 19 2014

Lou Widawski, Director

Office of Security

Reply to: Attn. of

To: Brodi Fontenot, Assistant Secretary for Administration

BACKGROUND

As the designated Senior Agency Official for DOT's Classified National Security Information program, your signature is required to transmit the two attached annual reports to the Information Security Oversight Office (ISOO). These reports were prepared to meet standards in Executive Order 13526 and contain consolidated data from all the DOT agencies including FAA.

There are a few changes this year as compared to the 2013 reports. The SF311, Agency Security Classification Management Program report shows a decrease of approximately 17% in the number of derivative actions taken by DOT in 2014 as compared to the number we reported to ISOO in 2013. The primary reason for this decrease is because FAA stopped producing their Travel Exception Reports which were previously classified as Secret and Confidential. This reduced the overall number of derivative actions that we are required to report to ISOO.

The Agency Annual Self-Inspection Report requires that we inform ISOO how many of our clearance holders met the annual training requirement during the reporting period. While DOT hit 100% this year, FAA reported they trained 97% of their clearance holders. This resulted in a combined figure of 98% completions for DOT overall in the report to ISOO.

ACTION

Please sign the attached letter to Mr. Fitzpatrick that transmits to ISOO the Agency Annual Self-Inspection Program Data: FY 2014 as well as the Agency Security Classification Management Program Data report for Fiscal Year 2014.

Attachments (2)



Assistant Secretary For Administration

1200 New Jersey Ave, SE Washington D.C. 20590

Mr. John P. Fitzpatrick Director, Information Security Oversight Office National Archives and Records Administration 700 Pennsylvania Avenue, N.W. Washington, DC 20408

Dear Mr. Fitzpatrick:

As the Senior Agency Official for the U.S. Department of Transportation, I am pleased to transmit to you two annual reports for 2014. Enclosed is the Department of Transportation completed Standard Form 311, Agency Security Classification Management Program Data for Fiscal Year 2014. The data in this year's report represent an actual count of derivative actions rather than an estimate as we have reported to you in the past.

Also enclosed is our completed Agency Annual Self-Inspection Program Data Report for Fiscal Year 2014. DOT's self-inspection program is conducted under my authority by the Director, Office of Security and at the Federal Aviation Administration under self-inspection authority we have delegated to them.

If you have any questions regarding this submission, please contact Joan Harris, Associate Director in the Office of Security, at 202-366-1827, or Joan.Harris@dot.gov.

Sincerely

Brodi Fontentot

Enclosures (2)

	formation	1.	
1. Enter the Fiscal Year that this report covers.		1.	2014
2. Identify the Department, Independent agency, or Establishment that is covered by this report.	2. U.S. Depar	iment of Trans	sportation
3. Enter the name, title, address, phone, fax, and e-mail address of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this	3, brods Fomtenol Assistant Secretary for Admunistration (M1) 200 New Jersey Ave SE WDC 20590/202-366-1400 / Bnodi Ferstenot/@dol.g	ia.	
4. Enter the manne, time, proving about this report	4. .on Widowski, Davetor, Office of Security (M40) 200 New Jersey Ave SE WDC 20590 / 202-366-4915ph / 202-366-7013fax /	Lou Widowski ji dot go	N.
PART B: Officials with Original Cla	assification Authority		
5. Enter the number of agency officials whose highest level of original classification		5.	
6. Enter the number of agency officials whose highest level of original classification		6.	
7. Enter the number of agency officials whose highest level of original classification		7.	
8. Total number of officials with original classification authority. (Sum of blocks 5		8.	
meets the following conditions: (1) it was classified by an original classification au control of the United States Government; (3) it falls into at least one of the categoric could reasonably be expected to result in damage to the national security. (Provide the media, including those documented and disseminated via email. Do not count r	es from section 1.4 of E.O. 13526; and (4) to information on all original classification de eproductions or copies.)	inauthorized c	usciosure
9. Enter the number of original TOP SECRET classification decisions made during declassification instructions of 10 years or less.	ng the reporting period with	9.	
10. Enter the number of original TOP SECRET classification decisions made dur	ing the reporting period with	10.	
declassification instructions ranging from over 10 years to 25 years. 11. Total number of TOP SECRET original classification decisions. (Sum of blo	cks 9 & 10).	11.	(
12. Enter the number of original SECRET classification decisions made during the instructions of 10 years or less	e reporting period with declassification	12.	
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PART E: Mandatory Declassification Review Requests and Appeals		
A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed a	s part of the r	equest.
Report only requests for your agency in which your agency is responsible for the final decision.	23.	0
23. Enter the number of requests received during the reporting period.	24.	0
24. Enter the number of requests closed during the reporting period.	25.	0
25. Enter the number of requests that have been unresolved for over one year.	26.	0
26. Enter the average number of days to resolve each request.	27.	0
27. Enter the number of appeals received during the reporting period.	28.	0
28. Enter the number of appeals closed during the reporting period.		0
29. Enter the number of appeals that have been unresolved for over one year.	29.	-
30. Enter the average number of days to resolve each appeal.	30.	0
31. Enter the number of referred requests received during the reporting period.	31.	0
32. Enter the number of referred appeals received during the reporting period.	32.	0
PART F: Mandatory Declassification Review Decisions in Pages		
33. Enter the number of requested pages that were declassified in full.	33.	0
34. Enter the number of requested pages that were declassified in part.	34.	0
35. Enter the number of requested pages that were denied declassification.	35.	0
36. Total number of requested pages acted on, (Sum of blocks 33, 34, & 35)	36.	0
37. Enter the number of appealed pages that were declassified in full.	37.	0
38. Enter the number of appealed pages that were declassified in part.	38.	0
39. Enter the number of appealed pages that were denied declassification.	39.	0
40. Total number of appealed pages acted on. (Sum of blocks 37, 38, & 39)	40.	0
PART G: Automatic, Systematic, and Discretionary Declassification Reviews		
41. Enter the number of pages reviewed that were subject to automatic declassification under section 3.3 of E.O. 13526.	41.	0
42. Enter the number of pages declassified under automatic declassification.	42.	0
43. Enter the number of pages reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526.	43.	0
44. Enter the number of pages declassified under systematic declassification.	44.	0
45. Enter the number of pages reviewed that were subject to discretionary declassification under section 3.1 of E.O. 13526.	45.	0
46. Enter the number of pages declassified under discretionary declassification.	46.	0
PART H: Internal Agency Oversight		
47. Enter the number of self-inspections conducted by your agency, covering any aspect of the security classification	47.	1
program, during the reporting period. 48. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	48.	0
49. Enter the number of challenges where the elassification status was fully affirmed.	49.	0
50. Enter the number of challenges where the classification status was overturned in whole or in part.	50.	Q
51. Enter the number of security classification guides created by your agency and currently in use.	51.	C

PART I: Explanatory Comments
Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.
Regarding questions no. 19 to 22: This report reflects a decrease of approximately 17% in the number of derivative classification actions taken in 2014 as compared to 2013. This change is mainly due to the fact that FAA is no longer producing Travel Exception Reports at the Secret and Confidential levels. In addition, in 2013 DOT and FAA used a sampling technique to estimate the number of derivative actions taken, but in 2014 we performed a 100% census. The change from estimated to actual numbers accounted for a very small portion of the change from last year's report to this year's report.
Regarding question no. 47: DOT understands that ISOO considers all the individual self-inspections which DOT performs on its components to constitute just one self-inspection for DOT. In fact during this reporting period FAA performed 55 individual inspections and DOT performed another 20 for the other DOT agencies and Secretarial Offices, and further, each of these were comprised of many separate visits, interviews and physical inspections. Nonetheless, we wrapped up all of this activity and reported just 1 self-inspection for DOT overall to comply with ISOO reporting requirements.
For ISOO Hee Only
For ISOO Use Only
ISOO Analyst Name: Date of QC:

Analyst Initials:



Assistant Secretary For Administration

1200 New Jersey Ave, SE Washington D.C. 20590

NOV 2 0 2015

Mr. John P. Fitzpatrick Director, Information Security Oversight Office National Archives and Records Administration 700 Pennsylvania Avenue N.W. Washington, DC 20408

Dear Mr. Fitzpatrick:

As the Senior Agency Official for the U.S. Department of Transportation, I am pleased to transmit to you this annual report for 2015. Enclosed is the Department of Transportation completed Standard Form 311, Agency Security Classification Management Program Data for Fiscal Year 2015.

If you have any questions regarding this submission, please contact Joan Harris, Associate Director in the Office of Security, at 202-366-1827, or <u>Joan.Harris@dot.gov</u>.

Sincerely,

Jeff Marootian

Enclosure

PART A: Identifying I	nformation		
. Enter the Fiscal Year that this report covers.		1.	2015
2. Identify the Department, Independent agency, or Establishment that is covered by this report.	2. U.S. Department of Transportation		
3. Enter the name and title of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	Jeff Marootian, Assistant Secretary for Adm	inistration	
4. Enter the name, title, phone, and cmail address for the point-of-contact responsible for answering questions about this report.	4. Lou Widawski, Director of Security (contin	ued in Part 1)	
PART B: Officials with Original (Classification Authority		
5. Enter the number of agency officials whose highest level of original classificat		5.	0
6. Enter the number of agency officials whose highest level of original classifications.	tion authority is SECRET.	6.	. 8
7. Enter the number of agency officials whose highest level of original classifications.	tion authority is CONFIDENTIAL.	7.	0
7. Enter the number of agency officials whose aighest level of original classifications.	5 6 8 7)	8.	8
8. Total number of officials with original classification authority. (Sum of blocks PART C: Original Classifi	8 3, 0, & 7)	10.	
Original classification is an initial determination that the miorimator to everal meets the following conditions: (1) it was classified by an original classification control of the United States Government; (3) it falls into at least one of the catego could reasonably be expected to result in damage to the national security. (Provide the media, including those documented and disseminated via email. Do not counter the media of the counter of the counter of the media of the counter o	ories from section 1.4 of E.O. 13526; and (4) of the information on all original classification de t reproductions or copies.)	manmonzen a	iless of
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10. Enter the number of original TOP SECRET classification decisions made d declassification instructions ranging from over 10 years to 25 years.	luring the reporting period with	10.	0
11. Total number of TOP SECRET original classification decisions. (Sum of b	docks 9.8-10).	11.	
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PART E: Mandatory Declassification Review Requests and Appeals	s mort of the p	equest
A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed a Report only requests for your agency in which your agency is responsible for the final decision.	s part of the r	equesi.
23. Enter the number of requests received during the reporting period.	23.	0
24. Enter the number of requests closed during the reporting period.	24.	0
25. Enter the number of requests that have been unresolved for over one year.	25.	0
26. Enter the average number of days to resolve each request.	26.	0
27. Enter the number of appeals received during the reporting period.	27.	0
28. Enter the number of appeals closed during the reporting period.	28.	0
29. Enter the number of appeals that have been unresolved for over one year.	29.	0
30. Enter the average number of days to resolve each appeal.	30.	0
	31.	0
31. Enter the number of referred requests received during the reporting period.	1	
32. Enter the number of referred appeals received during the reporting period.	32.	0
PART F: Mandatory Declassification Review Decisions in Pages	T = 2	
33. Enter the number of requested pages that were declassified in full.	33.	0
34. Enter the number of requested pages that were declassified in part.	34.	0
35. Enter the number of requested pages that were denied declassification.	35.	0
36. Total number of requested pages acted on. (Sum of blocks 33, 34, & 35)	36.	0
37. Enter the number of appealed pages that were declassified in full.	37.	. 0
38. Enter the number of appealed pages that were declassified in part.	38.	0
39. Enter the number of appealed pages that were denied declassification.	39.	0
40. Total number of appealed pages acted on. (Sum of blocks 37, 38, & 39)	40.	0
PART G: Automatic, Systematic, and Discretionary Declassification Reviews		
41. Enter the number of pages reviewed that were subject to automatic declassification under section 3.3 of E.O. 13526.	41.	0
42. Enter the number of pages declassified under automatic declassification.	42.	0
43. Enter the number of pages reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526.	43.	0
44. Enter the number of pages declassified under systematic declassification.	44,	0
45. Enter the number of pages reviewed that were subject to discretionary declassification under section 3.1 of E.O. 13526.	45.	0
46. Enter the number of pages declassified under discretionary declassification.	46.	0
PART H: Internal Agency Oversight		
47. Enter the number of challenges processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	47.	0
48. Enter the number of challenges where the classification status was fully affirmed.	48.	C
49. Enter the number of challenges where the classification status was overturned in whole or in part.	49.	0

PART I: Explanatory Comments
Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.
Part A item 4 con't:
Lou. Widowski@dot.gov, Director of Security
Phone: 202-366-0919 Email: lou.widawski@dot.gov
Part D, Derivative Classification Decisions
There was an overall 20% increase in the number of derivative classification actions in FY15 as compared to FY2014. This overall figure represents increases in both Secret and Confidential actions, as well as a slight (17%) decrease in Top Secret derivative actions. The overall increase was the result of three additional personnel who were assigned to intelligence duties in FAA as well as an increase in requests for reports of FAA produced derivatively classified products for use by other government agencies.

For ISOO Use Only	
ISOO Analyst Name:	
Date of QC:	
Analyst Initials:	



Assistant Secretary For Administration

1200 New Jersey Ave, SE Washington D.C. 20590

NOV 23 2016

Mr. William A. Cira Acting Director, Information Security Oversight Office National Archives and Records Administration 700 Pennsylvania Avenue, N.W. Washington, DC 20408

Dear Mr. Cira:

As the Senior Agency Official for the U.S. Department of Transportation, I am pleased to transmit the annual report for 2016. Enclosed is the Department of Transportation completed Standard Form 311, Agency Security Classification Management Program Data for Fiscal Year 2016.

If you have any questions regarding this submission, please contact Joan Harris, Associate Director in the Office of Security, at 202-366-1827, or <u>Joan.Harris@dot.gov</u>.

Sincerely,

Lo waly

Jeff Marootian

Assistant Secretary for Administration

Enclosure





	P	ART A: Identifying Information		
1. Enter the Fiscal Yea	r that this report covers.		1. 2016	
2. Identify the Departm Establishment that is c	nent, Independent agency, or overed by this report.	2. Department of Transportation	-	
	itle of the Senior Agency E.O. 13526, section 5.4(d)) ort.	3. Jeff Marootian, Assistant Secretary for Administration	on	
4. Point-of-contact res	ponsible for answering questions	about this report:		
4a. Name:	^{4a} .Lou Widawski			
4b. Title:	4b.Director of Security			
4c. Email address:	4c.Lou.Widawski@dot.gov			
4d. Phone number:	^{4d.} (202) 366-0919			
	PART B: Of	ficials with Original Classification Authority		
5. Enter the number of	agency officials whose highest le	evel of original classification authority is TOP SECRET.	5.	0
6. Enter the number of	agency officials whose highest le	evel of original classification authority is SECRET.	6.	8
7. Enter the number of	agency officials whose highest le	evel of original classification authority is CONFIDENTIAL.	7.	0
8. Total number of offi	cials with original classification	authority. (Sum of blocks 5, 6, and 7)	8.	8
also meets the following the control of the Unit disclosure could reason	is an initial determination that the g-conditions: (1) it was classified ted States Government; (3) it falls ably be expected to result in dam	C: Original Classification Decisions Information to be classified has not been previously classified by an original classification authority; (2) the information is a into at least one of the categories from section 1.4 of E.O. 13: tage to the national security. (Provide information on all original authority and disseminated via email. Do not count reproduction	wned by or for, or is un 26; and (4) unauthorize al classification decisio	ider ed
9. Enter the number of		cation decisions made during the reporting period with	9.	0
10. Enter the number of		ication decisions made during the reporting period with	10.	0
		ion decisions. (Sum of blocks 9 and 10)	11.	0
	foriginal SECRET classification tions of 10 years or less.	n decisions made during the reporting period with	12.	0
13. Enter the number of		n decisions made during the reporting period with	13.	0
		cisions. (Sum of blocks 12 and 13)	14.	0
	foriginal CONFIDENTIAL cla tions of 10 years or less.	ssification decisions made during the reporting period with	15.	0
16. Enter the number of		ssification decisions made during the reporting period with	16.	0
		cation decisions. (Sum of blocks 15 and 16)	17.	0
18. Total number of or	iginal classification decisions. (S	Sum of blocks 11, 14, and 17)	18.	0

Department of Transportation

PART D: Derivative Classification Decisions Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that includes classification based on classification guides or other source documents. (Provide information on all classifications the media, including those documented and disseminated via email. Do not count reproductions of the media, including those documented and disseminated via email.	ation decisions	fied. This regardless of
19. Enter the number of derivative TOP SECRET classification decisions made during the reporting period.	19.	1,570
20. Enter the number of derivative SECRET classification decisions made during the reporting period.	20.	1,240
21. Enter the number of derivative CONFIDENTIAL classification decisions made during the reporting period.	21.	81
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, and 21)	22.	2,891
PART E: Mandatory Declassification Review Requests A "Request" is an individual initial review request, regardless of the number of documents or pages to be review Report only requests for your agency in which your agency is responsible for the final de	ed as part of the	request
23. Enter the number of REQUESTS received during the reporting period.	23.	0
24. Enter the number of REQUESTS closed during the reporting period.	24.	0
25. Of the REQUESTS entered into block 24, enter the number of pages that were:	25.	
a. Declassified in full.	25a.	0
b. Declassified in part.	25b.	0
c. Denied declassification.	25c.	
d. Total number of requested pages acted on. (Sum of blocks a, b, and c)	25d.	0
26. Enter the number of REQUESTS that have been unresolved for over one year.	26.	0
27. Enter the AVERAGE NUMBER OF DAYS to resolve each request.	27.	0
28. Enter the number of REFERRED REQUESTS received during the reporting period. (Number of requests referred to your agency from another agency)	28.	0
PART F: Mandatory Declassification Review Appeals An "Appeal" is an individual request for appeal, regardless of the number of documents or pages to be reviewed. Report only appeals for your agency in which your agency is responsible for the final dec	l as part of the ision.	request
29. Enter the number of APPEALS received during the reporting period.	29.	0
30. Enter the number of APPEALS closed during the reporting period.	30.	0
31. Of the APPEALS entered into block 30, enter the number of pages that were:	31.	
a. Declassified in full.	31a.	0
b. Declassified in part.	31b.	0
c. Denied declassification.	31c.	0
d. Total number of appealed pages acted on. (Sum of blocks a, b, and c)	31d.	0
32. Enter the number of APPEALS that have been unresolved for over one year.	32.	0
33. Enter the AVERAGE NUMBER OF DAYS to resolve each appeal.	33.	0
34. Enter the number of REFERRED APPEALS received during the reporting period. (Number of appeals referred to your agency from another agency)	34.	0

Department of Transportation

PART G: Automatic, Systematic, and Discretionary Declassification Reviews	at the way of the	18 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1
 Enter the number of pages REVIEWED that were subject to automatic declassification under section 3.3 of E.O. 13526. 	35.	0
36. Enter the number of pages DECLASSIFIED under automatic declassification.	36.	0
37. Enter the number of pages REVIEWED that were subject to systematic declassification under section 3.4 of E.O. 13526.	37.	0
38. Enter the number of pages DECLASSIFIED under systematic declassification.	38.	0
39. Enter the number of pages REVIEWED that were subject to discretionary declassification under section 3.1 of E.O. 13526.	39.	0
40. Enter the number of pages DECLASSIFIED under discretionary declassification.	40.	0
PART H: Internal Agency Oversight		The second of some
41. Enter the number of CHALLENGES processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	41.	0
42. Enter the number of CHALLENGES where the classification status was fully affirmed.	42.	0
43. Enter the number of CHALLENGES where the classification status was overturned in whole or in part.	43.	0
This section applies only to IC agencies and IC components of other agencies who originally apply the ORCON a dissemination control. This information, along with ISOO's annual inspection reports will be used to inform the annual inspection reports will be used to inform the annual inspection reports.	d report to the	DNI on the
dissemination control. This information, along with ISOO's annual inspection reports will be used to inform the annual use of classification markings. Organization's classified disseminated analytic product (as defined in ICD 206 Sourcing Requirements for Dissem	d report to the	DNI on the
dissemination control. This information, along with ISOO's annual inspection reports will be used to inform the annual use of classification markings.	d report to the	DNI on the
dissemination control. This information, along with ISOO's annual inspection reports will be used to inform the annual use of classification markings. Organization's classified disseminated analytic product (as defined in ICD 206 Sourcing Requirements for Dissembriginally marked ORCON. 44. Enter PERCENTAGE of your organization's classified disseminated analytic products originally marked ORCON.	d report to the ninated Analyt	DNI on the
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dissemination control. This information, along with TSOO's annual inspection reports will be used to inform the annual use of classification markings. Organization's classified disseminated analytic product (as defined in ICD 206 Sourcing Requirements for Dissembling marked ORCON. 44. Enter PERCENTAGE of your organization's classified disseminated analytic products originally marked ORCON. 45. Enter TOTAL NUMBER of your organization's classified disseminated analytic products originally marked ORCON. 46. Enter the NUMBER OF REQUESTS approved for expanded dissemination of ORCON in full.	direport to the sinated Analyte 44. 45.	DNI on the control of
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Department of Transportation

PART J: Explanatory Comments							
Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.							
DOT and FAA data are included in this report. The DOT data reflect an actual count, compiled from daily creation entries. FAA data were derived from an 8-week sample that was multiplied by 6.5. Derivative materials in this count include Daily Intelligence Summaries, Executive Intel Briefs, Intel Flyers, CITE Watch Notes, Security Briefs (Travel) and emails. Some variations were noted in the number of Top Secret, Secret and Confidential actions from FY 2015 to FY2016, resulting in a decrease of about 10% overall in the reported total this year. Investigation of these variations yielded no result, as there were no changes in procedure during this reporting period. We conclude the variations from one year to the next are the result of the 8-week sample period selected at FAA.							
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·							



U.S. Department of Transportation

Assistant Secretary for Administration

1200 New Jersey Avenue, SE Washington, DC 20590

Office of the Secretary of Transportation

Mr. Mark A. Bradley Director, Information Security Oversight Office National Archives and Records Administration 700 Pennsylvania Avenue, N.W., Room 100 Washington, DC 20408-0001 NOV 0 1 2017

Dear Mr. Bradley,

As the Senior Agency Official for the U.S. Department of Transportation, I am pleased to transmit to you the FY 2017 Agency Classification Management Program Data. Enclosed is the completed Standard Form 311.

If you have any questions regarding this submission, please contact Keith Szakal, Acting Director, Office of Security, at (202)366-9422 or Keith. Szakal@dot.gov.

Sincerely,

Keith Nelson

Enclosure

	P	ART A: Identifying Information				
1. Enter the Fiscal Year	that this report covers.		1. 2017			
2. Identify the Department, Independent agency, or Establishment that is covered by this report.		2. DOT: Department of Transportation				
3. Enter the name and title of the Senior Agency Official (as defined in E.O. 13526, section 5.4(d)) responsible for this report.		3. Keith Nelson, Assistant Secretary for Administration	L			
4. Point-of-contact resp	oonsible for answering questions	about this report:				
4a. Name:	^{4a.} Keith Szakal					
4b. Title:	b. Title: 4b. Acting Director of Security					
4c. Email address:	Email address: 4c. Keith. Szakal@dot.gov					
4d. Phone number: 4d.(202) 366-9422						
	PART B: Of	ficials with Original Classification Authority				
5. Enter the number of a	gency officials whose highest le	evel of original classification authority is TOP SECRET.	5. 0			
6. Enter the number of agency officials whose highest level of original classification authority is SECRET.			6. 8			
7. Enter the number of agency officials whose highest level of original classification authority is CONFIDENTIAL.			7. 0			
8. Total number of office	cials with original classification	authority. (Sum of blocks 5, 6, and 7)	8. 8			
PART C: Original Classification Decisions Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories from section 1.4 of E.O. 13526; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information on all original classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)						
9. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.			9. 0			
10. Enter the number of original TOP SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.			10. 0			
11. Total number of TOP SECRET original classification decisions. (Sum of blocks 9 and 10)			11. 0			
12. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions of 10 years or less.			12. 0			
13. Enter the number of original SECRET classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.			13. 0			
14. Total number of SECRET original classification decisions. (Sum of blocks 12 and 13)			14. 0			
15. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions of 10 years or less.			15. 0			
16. Enter the number of original CONFIDENTIAL classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.			16 0			
17. Total number of CONFIDENTIAL original classification decisions. (Sum of blocks 15 and 16)			17. 0			
18. Total number of ori	18. 0					

PART D: Derivative Classification Decisions		
Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is includes classification based on classification guides or other source documents. (Provide information on all classification and classification guides or other source documents).	tion decisions,	fied. This regardless of
the media, including those documented and disseminated via email. Do not count reproductions or 19. Enter the number of derivative TOP SECRET classification decisions made during the reporting period.	19.	1.712
		1,712
20. Enter the number of derivative SECRET classification decisions made during the reporting period.	20.	2,158
21. Enter the number of derivative CONFIDENTIAL classification decisions made during the reporting period.	21.	193
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, and 21)	22.	4,063
PART E: Mandatory Declassification Review Requests A "Request" is an individual initial review request, regardless of the number of documents or pages to be reviewe Report only requests for your agency in which your agency is responsible for the final dec	d as part of the	request.
23. Enter the number of REQUESTS received during the reporting period.	23.	0
24. Enter the number of REQUESTS closed during the reporting period.	24.	0
25. Of the REQUESTS entered into block 24, enter the number of pages that were:	25.	
a. Declassified in full.	25a.	0
b. Declassified in part.	25b.	. 0
c. Denied declassification.	25c.	0
d. Total number of requested pages acted on. (Sum of blocks a, b, and c)	25d.	0
26. Enter the number of REQUESTS that have been unresolved for over one year.	26.	.0
27. Enter the AVERAGE NUMBER OF DAYS to resolve each request.	27.	0
28. Enter the number of REFERRED REQUESTS received during the reporting period. (Number of requests referred to your agency from another agency)	28.	0
PART F: Mandatory Declassification Review Appeals An "Appeal" is an individual request for appeal, regardless of the number of documents or pages to be reviewed Report only appeals for your agency in which your agency is responsible for the final deci	as part of the r	equest.
29. Enter the number of APPEALS received during the reporting period.	29.	0
30. Enter the number of APPEALS closed during the reporting period.	30.	0
31. Of the APPEALS entered into block 30, enter the number of pages that were:	31.	
a. Declassified in full.	31a.	0
b. Declassified in part.	31b.	. 0
c. Denied declassification.	31c.	0
d. Total number of appealed pages acted on. (Sum of blocks a, b, and c)	31d.	0
32. Enter the number of APPEALS that have been unresolved for over one year.	32.	0
33. Enter the AVERAGE NUMBER OF DAYS to resolve each appeal.	33.	0
34. Enter the number of REFERRED APPEALS received during the reporting period. (Number of appeals referred to your agency from another agency)	34.	0

DOT: Department of Transportation

35. Enter the number of pages REVIEWED that were subject to automatic declassification under section 3.3 of E.O. 13526.	35.	
36. Enter the number of pages DECLASSIFIED under automatic declassification.	36.	
37. Enter the number of pages REVIEWED that were subject to systematic declassification under section 3.4 of E.O. 13526.	37.	
38. Enter the number of pages DECLASSIFIED under systematic declassification.	38.	
39. Enter the number of pages REVIEWED that were subject to discretionary declassification under section 3.1 of E.O. 13526.	39.	
40. Enter the number of pages DECLASSIFIED under discretionary declassification.	40.	
PART H: Internal Agency Oversight		
41. Enter the number of CHALLENGES processed by your agency to the classification of information believed to be improperly classified or unclassified. (E.O. 13526, section 1.8)	41.	(
42. Enter the number of CHALLENGES where the classification status was fully affirmed.	42.	
43. Enter the number of CHALLENGES where the classification status was overturned in whole or in part.	43.	
use of classification markings. Organization's classified disseminated analytic product (as defined in ICD 206 Sourcing Requirements for Dissen		
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originally marked ORCON. 44. Enter PERCENTAGE of your organization's classified disseminated analytic products originally marked ORCON.	44.	
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originally marked ORCON. 44. Enter PERCENTAGE of your organization's classified disseminated analytic products originally marked ORCON. 45. Enter TOTAL NUMBER of your organization's classified disseminated analytic products originally marked ORCON. 46. Enter the NUMBER OF REQUESTS approved for expanded dissemination of ORCON in full. 47. Enter the NUMBER OF REQUESTS approved for expanded dissemination of ORCON in part. Provide explanation for partial denial in part J below. 48. Enter the number of ORCON expanded dissemination requests DENIED. Provide explanation for denial in part J below. Organization's classified disseminated analytic product (as defined in ICD 206 Sourcing Requirements for Dissem	44. 45. 46. 47. 48.	0.00%
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DOT: Department of Transportation

PART J: Explanatory Comments

Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.

The totals for lines 19, 20, 21, and 22 include a combination of actual derivative decisions and estimated derivative decisions. The Federal Aviation Administration (FAA) used an 8-week time frame to conduct a sampling and multiplied by 6.5. The rest of the counted decisions made by the Department of Transportation (DOT) represent actual counts of derivative decisions. EAA made an

estimated 1,637 TOP SECRET derivative decisions, an estimated 2,099 SECRET derivative decisions, and an estimated 193 CONFIDENTIAL derivative decisions. The remainder of DOT made a combined 75 TOP SECRET derivative decisions, 59 SECRET derivative decisions, and 0 CONFIDENTIAL derivative decisions. Documents used to account for the above totals included Daily Intelligence Summaries, Executive Intelligence Briefs, Intelligence Fliers, CITE Watch Notes, Travel Security Briefings, and emails.									
There was an approximate 41% increase in derivative decisions made in FY17 compared to FY16. The increase is based on an increase in intelligence analyst staff and an increase in the number of security briefings created for aviation partners.									
,									
·									